



# HOUSINGAUTHORITY OFTHECITYOFSANTAANA COMPREHENSIVEPLANS

AnnualPlanforFiscalYearBeginning  
July1,2002 –June30,2003

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**Housing Authority of the City of Santa Ana Plan  
Agency Identification**

**PHAName:** Housing Authority of the City of Santa Ana

**PHANumber:** CA093

**PHAFiscalYearBeginning:** July 1, 2002 (July 1, 2002 – June 30, 2003)

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**Public Access to Information**

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

**Display Locations For PHA Plans and Supporting Documents**

The PHA Plans (including attachments) are available for public inspection at:

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

PHA Plan Supporting Documents are available for inspection at:

- Main business office of the PHA
- PHA development management offices
- Other (list below)
  - Santa Ana Public Library

**AnnualPHAPlan**  
**PHAFiscalYear2002 -2003**  
[24CFRPart903.7]

**i. AnnualPlanType:**

**StandardPlan**

**StreamlinedPlan:**

- HighPerformingPHA**  
 **SmallAgency(<250PublicHousingUnits)**  
 **AdministeringSection8Only**
- TroubledAgencyPlan**

**ii. ExecutiveSummaryoftheAnnualPHAPlan**

[24CFRPart903.79(r)]

ProvideabriefoverviewoftheinformationintheAnnualPlan,includinghighlightsofmajorinitiativesand discretionary policiesthePHAhasincludedintheAnnualPlan.

TheQualityHousingandWorkResponsibilityActof1998establishedrequirements forPublicHousingAuthoritiesstoprepareaFive-YearandAnnualPlan. TheFive-Year Plan describes the mission of the Housing Authority of the City of Santa Ana (Authority), and the Authority's long-range goals and objectives for achieving its mission over the subsequent five years. The Annual Plan provides details about the Authority's immediate operations, program participants, programs and services, and the agency's strategy for handling operational concerns and program participant concerns and needs for the upcoming fiscal year.

**ProgramregulationsdonotrequiretheHousingAuthorityoftheCityofSanta Anatoprepareanexecutivesummaryofthisannualplan.**

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[24CFR Part 903.79(r)]

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## Attachments

Indicate which attachments are reprovided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the filename in parentheses in the space to the right of the title.

### Required Attachments:

- Admissions Policy for Deconcentration ..... Not Applicable
- FY2000 Capital Fund Program Annual Statement ..... Not Applicable
- Most recent board-approved operating budget ..... Not Applicable  
(Required Attachment for troubled PHAs or PHAs at risk of being designated troubled ONLY)
- PHA Management Organizational Chart ..... Not Required (High Performing PHA)
- FY2000 Capital Fund Program 5 Year Action Plan ..... Not Applicable
- Public Housing Drug Elimination Program (PHDEP) Plan ..... Not Applicable

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HUD50075  
OMB Approval No: 2577 -0226  
Expires: 03/31/2002

Comments of Resident Advisory Board or Boards ..... Attachment 1  
(must be attached if not included in PHA Plan text)

Other (List below, providing each attachment name)

General Certifications ..... Attachment 2  
Consistency with the Consolidated Plan  
Compliance with the PHA Plans & Related Regulations  
Certificate for a Drug-Free Workplace  
Certification of Payments to Influence Federal Transactions  
Disclosure of Lobbying Activities

Proof of Publication ..... Attachment 3

Section 8 Homeownership Capacity Statement ..... Attachment 4

Progress Report, Five Year Plan ..... Attachment 5

Resident Membership of the PHA Governing Board ..... Attachment 6

Membership of the Resident Advisory Board ..... Attachment 7

### Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

All of the items marked with an “X” in the “Applicable & On Display” column are included in this plan and/or are available for public review. These documents are on display at the main administrative office located at 20 Civic Center Plaza, Santa Ana, CA, 2<sup>nd</sup> Floor and at the Santa Ana Public Library, Main Branch located at 26 Civic Center Plaza, Santa Ana, CA.

## List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
<b>X</b>	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations <b>(Included as Attachment 2)</b>	5 Year and Annual Plans
<b>X</b>	State/Local Government Certification of Consistency with the Consolidated Plan <b>(Included as Attachment 2)</b>	5 Year and Annual Plans
<b>X</b>	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement. <b>(Available for Review)</b>	5 Year and Annual Plans
<b>X</b>	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction <b>(Available for Review)</b>	Annual Plan: Housing Needs
<b>NA</b>	Most recent board -approved operating budget for the public housing program	Annual Plan: Financial Resources;
<b>NA</b>	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>X</b>	Section 8 Administrative Plan <b>(Available for Review)</b>	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>NA</b>	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>NA</b>	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Rent Determination
<b>NA</b>	Schedule of flat rents offered at each public housing	Annual Plan: Rent

## List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
	development <input type="checkbox"/> check here if included in the public housing A&O Policy	Determination
<b>X</b>	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan <b>(Available for Review)</b>	Annual Plan: Rent Determination
<b>NA</b>	Public housing management and maintenance policy documents, including policies for prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
<b>NA</b>	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A&O Policy	Annual Plan: Grievance Procedures
<b>X</b>	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan <b>(Available for Review)</b>	Annual Plan: Grievance Procedures
<b>NA</b>	The HUD -approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
<b>NA</b>	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
<b>NA</b>	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
<b>NA</b>	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
<b>NA</b>	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
<b>NA</b>	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
<b>NA</b>	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
<b>NA</b>	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
<b>X</b>	Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership

### List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
	<b>(Available for Review)</b>	
NA	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self - Sufficiency
X	FSS Action Plan(s) for public housing and/or Section 8 <b>(Available for Review)</b>	Annual Plan: Community Service & Self - Sufficiency
NA	Most recent self - sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self - Sufficiency
NA	Most recent Public Housing Drug Elimination Program (PHEDEP) semi - annual performance report for any open grant & most recently submitted PHEDEP application	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings <b>(Available for Review)</b>	Annual Plan: Annual Audit
NA	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
NA	Other supporting documents ( optional) (list individually; use as many lines as necessary)	(specify as needed)



# 1. Statement of Housing Needs

[24CFR Part 903.79(a)]

## A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

The table below has been completed with the assistance of Santa Ana's **Tenant Advisory Board** (also known as the Resident Advisory Board), and is based upon information contained in the City of Santa Ana's 2000 -2004 Consolidated Plan and other available data. This table was completed in the following manner. The "Overall" needs column provides an estimated number of renter families that have housing needs. The remaining "characteristics" have been rated based on the impact of that factor on the housing needs for each family type. Ratings range from 1 to 5, with 1 being "no impact" and 5 being "severe impact." N/A is used to indicate that no information is available upon which the Housing Authority of Santa Ana can make the assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Accessibility	Size	Location
Income <= 30% of AMI <sup>1</sup>	7,994	5	5	4	4	3	4
Income > 30% but <= 50% of AMI <sup>1</sup>	8,073	5	5	4	5	2	3
Income > 50% but < 80% of AMI <sup>1</sup>	6,082	N/A	N/A	N/A	N/A	N/A	N/A
Elderly <sup>1</sup>	2,558	5	5	3	3	3	3
Families with Disabilities <sup>1</sup>	14,500	5	4	3	3	3	4
White Race/Ethnicity <sup>2</sup>	886	5	3	4	4	4	4
White Hispanic Race/Ethnicity <sup>2</sup>	2,303	5	4	3	4	3	4
Asian-Pacific Islander Race/Ethnicity <sup>2</sup>	1,601	5	4	3	3	3	3
African American Race/Ethnicity <sup>2</sup>	297	5	4	3	4	3	3
American Indian Race/Ethnicity <sup>2</sup>	61	5	4	3	4	3	3

1. Source of data is Draft 2000 -2004 City of Santa Ana Consolidated Plan  
 2. Source of data is Current Section 8 Wait List as of March 1, 2002

The Housing Authority of the City of Santa Ana utilized the following sources of information to conduct this analysis. (These materials are available for public inspection.)

- Consolidated Plan of the Jurisdiction: City of Santa Ana Consolidated Plan  
Indicate year: 2000-2004
- U.S. Census data: the Comprehensive Housing Affordability Strategy ("CHAS") dataset
- American Housing Survey data  
Indicate year:
- Other housing market study  
Indicate year:
- Other sources: (list and indicate year of information)

Section 8 Wait List ..... March 1, 2002

Orange County HIV/AIDS Housing Plan ..... December 1999

## **B. Housing Needs of Families on the Public Housing and Section 8 Tenant-Based Assistance Waiting Lists**

State the housing needs of the families on the PHA's waiting list/s . Complete one table for each type of PHA-wide waiting list administered by the PHA. PHAs may provide separate tables for site -based or sub -jurisdictional public housing waiting lists at their option.

The table on the following page provides a summary of the housing needs of the families on the City of Santa Ana's Section 8 Housing waiting list .

*{Space intentionally left blank, go to next page}*

## Housing Needs of Families on the Waiting List

Waiting list type: (select one)

- Section 8 tenant-based assistance  
 Public Housing  
 Combined Section 8 and Public Housing  
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	5,148		210
Extremely low income <=30% AMI		%	
Very low income (>30% but <=50% AMI)		%	
Low income (>50% but <80% AMI)			
Families with children			
Elderly families	778	15%	
Families with Disabilities	1,325	26%	
White Non-Hispanic	886	17%	
White Hispanic	2,303	45%	
Asian-Pacific Islander Non-Hispanic	1,601	31%	
African American Non-Hispanic	297	6%	
American Indian Non-Hispanic	61	1%	
Other Race/Ethnicity			

Characteristics by Bedroom Size (Public Housing Only)	Not Applicable	Not Applicable	Not Applicable
1BR	NA	NA	NA
2BR	NA	NA	NA
3BR	NA	NA	NA
4BR	NA	NA	NA
5BR	NA	NA	NA
5+BR	NA	NA	NA

Is the waiting list closed (select one)?  No  Yes

If yes:

How long has it been closed (# of months)?

Does the PHA expect to reopen the list in the PHA Plan year?  No  Yes

Does the PHA permit specific categories of families on the waiting list, even if generally closed?  No

Yes

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### C.StrategyforAddressingNeeds

ProvideabriefdescriptionofthePHA'sstrategyforaddressingthehousingneedsoffamiliesinthe jurisdictionandonthewaitinglist **INTHEUPCOMINGYEAR** ,andtheAgency'sreasonsforchoosingthis strategy.

The Housing Authority of the City of Santa Ana has developed the following strategy to address the housing needs of families in the City of Santa Ana and those on the waiting list for the upcoming program year (i.e., July 1, 2002 through June 30, 2003).

#### (1)Strategies

### **Need:Shortageofaffordablehousingforallegiblepopulations**

#### **Strategy1.MaximizethenumberofaffordableunitsavailabletothePHAwithinit's currentresourcesby:**

Selectallthatapply

- Employeffectivemaintenanceandmanagementpolicies tominimizethenumberof publichousingunitsoff -line
- Reduceturnovertimeforvacatedpublichousingunits
- Reducetimetorenovatepublichousingunits
- Seekreplacementofpublichousingunitslosttotheinventorythroughmixedfinance development
- Seekreplacementofpublichousingunitslosttotheinventorythroughsection8 replacementhousingresources
- Maintainorincrease asection8lease -upratesbyestablishingpaymentstandards that willenablefamilies torentthroughoutthejurisdiction

#### **ProgressinFY2001 -2002:**

***March2000: RequestedHUDallowanincreaseinthepaymentstandardfor tenantsowningamobilehome andrentingspaceto120%ofthefairmarket rent.RequestpendingHUDapproval.***

- Undertakemeasures toensureaccess toaffordablehousing amongfamilies assisted bythePHA,regardless ofunitsizerequired
- Maintain orincrease section8lease -uprates bymarketingtheprogram toowners, particularlythoseoutsideofareasofminorityandpovertyconcentration

**Progress in FY2001 -2002:**

***October 2001: Hosted a “New Owner Outreach” event in partnership with the three other housing authorities located in Orange County, California. Over 200 owners***

***March 2002: Attended the Apartment Owner’s Association of Orange County Annual Conference and Trade Show to provide information about the Section 8 program to prospective owners/landlords.***

***Spring 2002: Efforts to increase owner participation have been included in the Housing Authority’s Strategic Plan. Efforts to streamline owner paperwork, marketing efforts, and financial incentives to participate will be undertaken in FY 2002-2003. {Note: HUD funds will not be utilized for the “financial incentives” efforts}***

- Maintain or increase section 8 lease -uprates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

**Strategy 2: Increase the number of affordable housing units by:**

Select all that apply

- Apply for additional section 8 units should they become available

**Progress in FY2001 -2002:**

***July 2001: Awarded 500 Housing Choice Vouchers from the HUD Fair Share Funding Announcement dated December 13, 2000.***

***February 2002: Awarded 25 Family Unification Housing Choice Vouchers from the HUD Funding Announcement dated July 11, 2001.***

***March 2002: Applied for 250 Housing Choice Vouchers through the HUD Fair Share Funding Announcement dated February 22, 2002.***

- Leverage affordable housing resources in the community through the creation of mixed -finance housing
- Pursue housing resources other than public housing or Section 8 tenant -based assistance.
- Other: (list below)

**Need:Specific FamilyTypes:Familiesatorbelow30%of median**

**Strategy1:Targetavailableassistancetofamiliesatorbelow30%ofAMI**

Selectallthatapply

- ExceedHUDfederaltargetingrequirementsforfamiliesatorbelow30%ofAMIin publichousing
- ExceedHUDfederaltargetingrequirementsforfamiliesatorbelow30%ofAMIin tenant-basedsection8assistance
- Employadmissionspreferencesaimedatfamilieswiththeconomichardships
- Adoptrentpoliciestosupportandencouragework
- Other:(listbelow)

**Need:SpecificFamilyTypes:Familiesatorbelow50%of median**

**Strategy1:Targetavailableassistanceto familiesatorbelow50%ofAMI**

Selectallthatapply

- Employadmissionspreferencesaimedatfamilieswhoareworking
- Adoptrentpoliciestosupportandencouragework
- Other:(listbelow)

**Need:SpecificFamilyTypes:TheElderly**

**Strategy1: Targetavailablea ssistancetotheelderly:**

Selectallthatapply

- Seekdesignationofpublichousingfortheelderly
- Applyforspecial -purposevoucherstargetedtotheelderly,shouldtheybecome available

**ProgressinFY2000 -2001:**

*Nospecialpurposevouchersfortheelderlyweremadeavailable.*

- Other:(listbelow)

**Need:SpecificFamilyTypes:FamilieswithDisabilities**

**Strategy1: TargetavailableassistancetoFamilieswithDisabilities:**

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Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special -purpose voucher targeted to families with disabilities, should they become available

**Progress in FY2001 -2002:**

***July 2001: Applied for Mainstream Housing Opportunities for Persons with disabilities; however, application not funded.***

- Affirmatively market to local non -profit agencies that assist families with disabilities:
- Other: (list below)
  - ***Future “new construct” housing units assisted by the Housing Authority’s bonding authority will be required to provide a minimum of 20% units that are accessible to persons with physical disabilities. Rehabilitation projects will be evaluated on a case -by-case basis; however, a goal of 10% to 20% accessible units per project will be sought.***

**Need: Specific Family Types: Races or ethnicities with disproportionate housing needs**

**Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:**

Select all that apply

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs

**Progress in FY2001 -2002:**

***On-Going: Continue to make the majority of printed material available in the following three languages: English, Vietnamese, and Spanish. Continue to employ only Housing Specialists that are bilingual in two of the languages previously listed.***

***March 2002: Updated and reprinted all Owner Brochures and Tenant Brochures in three languages stated above.***

- Other: (list below)



**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty/minority concentrations

**Progress in FY2000 -2001:**

***Spring 2001: Efforts to increase owner participation have been included in the Housing Authority’s Strategic Plan. Efforts to streamline owner paperwork, marketing efforts, and financial incentives to participate will be undertaken over the next year. {Note: HUD funds will not be utilized for the “ financial incentives” efforts}***

- Other:(list below)

**(2) Reasons for Selecting Strategies**

Of the factors listed below, select all that influenced the PHA’s selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups:
  - Fair Housing Council of Orange County
- Other:(list below)

## 2. Statement of Financial Resources

[24CFR Part 903.79(b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant-based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

The table on the following page provides a list the financial resources that are anticipated to be available to the Housing Authority of the City of Santa Ana to support its Federal tenant-based Section 8 rental assistance program during the 2002-2003 Plan Year. Please note, this table assumes that Federal tenant-based Section 8 assistance grant funds will be expended for eligible purposes; therefore, the uses of these funds is not stated. For "Other Income," a notation has been entered that indicates the use for the subject funds as one of the following categories: Section 8 tenant-based assistance, Section 8 supportive services or other.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
1. <b>Federal Grants</b> (FY2001 grants)	\$25,503,185	
a) Public Housing Operating Fund	NA	
b) Public Housing Capital Fund	NA	
c) HOPEVI Revitalization	NA	
d) HOPEVI Demolition	NA	
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$25,383,185	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	NA	
g) Resident Opportunity and Self - Sufficiency Grants	NA	
h) Community Development Block Grant	NA	NA
i) HOME	NA	NA
J) Other Federal Grants Family Self -Sufficiency Coordinator Grant	\$120,000	Salary and benefits for two FSS Coordinator staff position
2. Prior Year Federal Grants (unobligated funds only) (list below)	NA	NA
3. Public Housing Dwelling Rental Income	NA	NA
4. Other income (list below)		
Housing Authority Operating Reserve <sup>1</sup>	\$153,000	Housing assistance payment reserve and other eligible program costs.
Fraud Recovery	\$33,080	Program Operation
Bond Project monitoring fees <sup>2</sup>	\$63,135	Program Operation
CalWORKS	\$418,565	Supportive Services for Welfare to Work
4. Non -federal sources (list below)		
Local Tax Increment	\$344,590	Administration
<b>Total resources</b>	<b>\$26,515,555</b>	

<sup>1</sup>The Housing Authority of the City of Santa Ana is required to maintain a minimum of one month of housing assistance payments (HAP) in reserve. Current HAP Reserve equals \$1,000,000. Balance of Housing Authority Administrative Reserves may be used for other eligible administrative expenses.

<sup>2</sup>This funding source has been decreasing as a affordability terms of bond funded project expire.

# 3.P HAPolicies Governing Eligibility, Selection, and Admissions

[24CFR Part 903.79(c)]

## **A. Public Housing**

Exemptions: PHA that do not administer public housing are not required to complete subcomponent 3A.

**ASA SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA IS EXEMPT FROM COMPLETING SECTION 3A.P LEASES KIPTO SECTION 3B.**

### **(1) Eligibility**

a. When does the PHA verify eligibility for admission to public housing? (Select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other (describe)

c.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

### **(2) Waiting List Organization**

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection (3) Assignment

1. How many site-based waiting lists will the PHA operate in the coming year?

2.  Yes  No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously HUD-approved site-based waiting list plan)? If yes, how many lists?

3.  Yes  No: May families be on more than one list simultaneously? If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

**(3) Assignment**

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

b.  Yes  No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

**(4) Admissions Preferences**

a. Income targeting:

- Yes  No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admission to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfer take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1.  Yes  No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection (5) **Occupancy**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admission preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either

through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veteran's families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensure that the PHA will meet income-targeting requirements

**(5) Occupancy**

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA's resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Anytime family composition changes
- At family request for revision
- Other (list)

**(6) Deconcentration and Income Mixing**

a.  Yes  No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b.  Yes  No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- Adoption of site based waiting lists  
If selected, list targeted developments below:
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments  
If selected, list targeted developments below:
- Employing new admission preferences at targeted developments  
If selected, list targeted developments below:
- Other (list policies and developments targeted below)

d.  Yes  No: Did the PHA adopt any changes to **other policies** based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income mixing
- Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher -income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower -income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:



## B. Section 8

Exemptions: PHA that do not administer section 8 are not required to complete sub -component 3B.  
**Unless otherwise specified, all questions in this section apply only to the tenant -based section 8 assistance program.**

As a tenant -based Section 8 only agency, the Housing Authority of the City of Santa Ana is required to complete this section.

### (1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- Criminal or drug -related activity only to the extent required by law or regulation
  - Criminal and drug -related activity, more extensively than required by law or regulation
    - **The Santa Ana Housing Authority conducts background criminal checks on all Section 8 applicants 18 years of age and older.**
  - More general screening than criminal and drug -related activity (list factors below)
    - **The Santa Ana Housing Authority conducts department of motor vehicles, credit and tenancy background checks on all Section 8 applicants.**
  - Other (list below)
- b.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC -authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- Criminal or drug -related activity
  - Other (describe below)
    - Tenancy records
    - Previous landlords

**(2)WaitingListOrganization**

a. With which of the following program waiting lists is the section 8 tenant -based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project -based certificate program
- Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant -based assistance? (select all that apply)

- PHA main administrative office
- Other (list below)

**The Santa Ana Housing Authority opened the waiting list October 1, 2001. The waiting list will remain open indefinitely. Wait list applications are available at the following local service agencies:**

See following three pages:

## Local Service Agencies that Have Waiting List Applications Available at their Facility(ies)

Anaheim Housing Authority 201 S. Anaheim Blvd., 2 <sup>nd</sup> Floor Anaheim 92805	Cambodian Family Center 1111 East Wakeham, Suite E Santa Ana	Catholic Charities Outreach 3631 W. Warner Santa Ana, CA 92704	Civic Center Barrio 1165 E. 4 <sup>th</sup> Street, Suite 210 Santa Ana, CA 92702
Corbin Center 2215 W. McFadden Ave. Santa Ana	Dayle McIntosh Center 13272 Garden Grove Boulevard Garden Grove, CA 92843	Delhi Community Center Santa Ana	El Salvador Center 1825 W. Civic Center Dr. Santa Ana, CA
Orange County Fair Housing Council 201 S. Broadway Santa Ana 92701	Garden Grove Housing Authority 11400 Stanford Ave. Garden Grove 92842	Health Care Clinic of Orange County REACH Program 1725 W. 17 <sup>th</sup> Street Santa Ana, CA 92706	Hermanidad Mexicana Nacional 611 West Civic Center Drive Santa Ana, CA
HUD – Community Builders 1600 N. Broadway, Suite 100 Santa Ana 92706	Vietnamese Community of Orange County, Inc. 1618 West 1 <sup>st</sup> Street Santa Ana, CA 92704	Memorial Center 2102 S. Flower St. Santa Ana	Mercy House Transitional Living Center Deliver to: Emmanuel House 807 N. Garfield Santa Ana 92702
Community Housing Resources, Inc. 1411 North Broadway Santa Ana, CA 92706	AIDS Service Foundation Orange County 17982 Sky Park Circle, #J Irvine, CA 92614	UCI Medical Center Neuropsychiatry Building #3 101 The City Drive Rt. 88 Orange, CA 92868	Straight Talk 217 N. Cooper Street Santa Ana 92703
Laguna Shanti 570 Glenneyre, Suite 101 Laguna Beach 92651	CA Senator Joseph L. Dunn 12397 Lewis St., Suite 103 Garden Grove, CA 92840	OCSoc. Services Agency – Children Services 800 North Eckroth Orange	WISE Place 1411 North Broadway Santa Ana, CA
Santa Ana College 1530 W. 17 <sup>th</sup> Street, Administration Bldg. 2 <sup>nd</sup> Floor, Room 204, Santa Ana	Latino Health Access 1717 N. Broadway Santa Ana	OC Mental Health 1200 North Main, Suite 200 Santa Ana, CA	Orange County Rescue Mission 1421 Edinger, Suite B Tustin, CA 92780

## Local Service Agencies that Have Waiting List Applications Available at their Facility(ies)

Regional Center of Orange County 801 Civic Center, Suite 100 Santa Ana	Salgado Center 706 N. New Hope Ave. (between 5 <sup>th</sup> and Hazard) Santa Ana	Santa Ana WORK Center Train Station Santa Ana	Santa Anita Center 300 S. Figueroa Santa Ana
OCSSA Adult Services Ingrid Harita, Deputy Director 1505 E. Warner Santa Ana	Southwest Senior Center 2201 W. McFadden Ave. Santa Ana	St. Annes' Catholic Church 109 W. Borcard Santa Ana 92707	Taller San Jose 801 North Broadway Santa Ana 92701
The Center of Orange County 12832 Garden Grove Blvd., "A" Garden Grove, CA 92843	Community Development Council 12640 Knott Street Garden Grove, CA 92841	Santa Ana Central Library Civic Center Drive	Santa Ana New Hope Library Facility 122 North New Hope
Santa Ana Learning Center 2627 McFadden Santa Ana	Mexican American Opportunity Foundation 502 S. Ross Santa Ana	Mariposa Women's Center 812 Town & Country Road Orange	Curtis and Associates 902 N. Grand Ave., Suite 200 Santa Ana
Congresswoman Sanchez 12397 Lewis Street, Suite 101 Garden Grove	OCS Social Services Agency 888 North Main Street Santa Ana	OCS Social ATTN: Margo Chavez 1200 North Main Street, 7 <sup>th</sup> Floor, Office #710 Santa Ana, CA 92701	OCS Social Services Agency Domestic Abuse Service Unit 1337 Braden Court Orange, CA 92868
Saint Anseom 13091 Galway Street Garden Grove, CA 92844	Community Service Program Sexual Assault Victim Witness 1849 East Dyer, Suite 200 Santa Ana, CA 92705	Social Services Agency 1200 N Main St. Santa Ana CA 92701	Santa Ana Senior Center M-78 Corner of Ross and 3 <sup>rd</sup>
CalWORKS Program Orange Coast College 2710 Fairview Road PO Box 5005 Costa Mesa, CA 92628 - 5005	Consumer Credit Counseling Services 1920 Old Tustin Ave. Santa Ana, CA 92705	Orange Coast College CalWORKS Program 2710 Fairview Road Costa Mesa, CA 92626	Madison Elementary 1124 East Hobart Santa Ana, CA 92707
HUD 1600 North Broadway, Suite 100 Santa Ana, CA 92706	OCS Social Services Agency PO Box 25196 Santa Ana, CA 92799 -0029 Or 1928 S. Grand Ave., Building C Santa Ana, CA 92705	South County Seniors 24300 El Toro Road, Building A, Suite 200 Laguna Woods, CA 92653	Cooper Fellowship 409 N. Cooper Santa Ana, CA 92703
OC Children and Family Services PO Box 6685 Orange, CA 92863	Children and Family Services Family Maintenance, Non - Court 1337 Braden Court Orange, CA	Casa Pacifica Senior Apartments 2201 S. Pacific Ave. #308 Santa Ana, CA 92704	South County Seniors 34052 Del Obispo Dana Point, CA 92629

## Local Service Agencies that Have Waiting List Applications Available at their Facility(ies)

OC Child Abuse Prevention Center 515 Cabrillo Park Drive, Suite 205 Santa Ana, CA 92701	Integrity House 1933 Sunny Crest Drive Fullerton, CA 92835	United Veterans of California 921 North Bewley Santa Ana, CA 92703	John Henry Foundation 12812 Garden Grove Blvd., Suite L Garden Grove, CA 92843
CalWORKS Employment & Family Resource Center 23330 Moulton Pkwy. #A Building 192A Laguna Hills, CA 92653	Santa Ana Unified District Head Start 2116 Monte Vista Ave. Santa Ana, CA 92704	Orange County Child Abuse Prevention Center 515 Cabrillo Park Drive, Suite 205 Santa Ana, CA 92701	OCSSA 1337 Braden Court, Building 140D Orange, CA 92668
Interval House ATTN: Elvia Ruiz PO Box 3356 Seal Beach, CA 90740	College Health 1155 West Central Santa Ana	Adult Protective Services Orange County Social Services Agency PO Box 22006 Santa Ana, CA 92702	OC Social Services Agency 800 North Eckhoff PO Box 14188 Orange, CA 92863
Area Agency on Aging 1300 South Grand, Building #B Santa Ana, CA 92705	Cross-Cultural Community Center 13091 Galway Street Garden Grove, CA 92844		

### **(3) Search Time**

a.  Yes  No: Does the PHA give extensions on standard 60 -day period to search for a unit?

If yes, state circumstances below:

The Housing Authority of the City of Santa Ana grants time extensions under the following circumstances:

- Tenant is unable to locate a unit due to an illness.
- Tenant is unable to locate a unit due to a shortage of large family units (e.g., three- and four -bedroom units).
- Tenant is unable to locate a unit due to a lack of available housing units in the community resulting from a low vacancy rate.

**(4) Admissions Preferences**

a. Incometargeting

Yes  No: DoestheP HAplantoexceedthefederaltargetingrequirementsby targetingmorethan75%ofallnewadmissionstothesection8programto familiesatorbelow30%ofmedianareaincome?

b. Preferences

1.  Yes  No: HasthePHA establishedpreferencesforadmissiontosection8tenant basedassistance?(otherthandateandtimeofapplication)(ifno,skip tosubcomponent **(5)Specialpurposesection8assistanceprograms** )  
➤ MobileHomecoachowners  
➤ FamilyUnificationProgramrefer ralsfromtheOrangeCountySocial ServicesAgency.

2. WhichofthefollowingadmissionpreferencesdoesthePHAplantoemployinthe comingyear?(selectallthatapplyfromeitherformerFederalpreferencesorother preferences)

FormerFederalpre ferences

- InvoluntaryDisplacement(Disaster,GovernmentAction,ActionofHousingOwner, Inaccessibility,PropertyDisposition)
- Victimsofdomesticviolence
- Substandardhousing
- Homelessness
- Highrentburden(rentis>50percentofincome)

Otherpreferences(selectallthatapply)

- Workingfamiliesandthoseunabletoworkbecauseofageordisability
- Veteransandveterans' families
- Residentswholiveand/orworkinyourjurisdiction
- Thoseenrolledcurrentlyineducational,training,orupwardmobilityprograms
- Householdsthatcontributetomeetingincomegoals(broadrangeofin comes)
- Householdsthatcontributetomeetingincomerequirements(targeting)
- Thosepreviouslyenrolledineducational,training,orupwardmobilityprograms
- Victimsofreprisalsorhatecrimes
- Otherpreference(s)(listbelow)
  - PersonsdisplacedbyCityofSantaAnacomunityDevelopmentAgency actions
  - AnyspecializedCityprograms(e.g.,YESprogram)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a points system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

**(1) Date and Time**

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)

**(1) Victims of domestic violence**

Substandard housing  
Homelessness  
High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- (1)  Veterans and veterans' families**
- (1)  Residents who live and/or work in your jurisdiction**
  - Those enrolled currently in educational, training, or upward mobility programs
  - Households that contribute to meeting income goals (broad range of incomes)
  - Households that contribute to meeting income requirements (targeting)
  - Those previously enrolled in educational, training, or upward mobility programs
- (1)  Victims of reprisal or hate crimes**
- Other preference(s) (list below)**
  - **(1) Mobile home co-owners**
  - **(1) Persons displaced by City of Santa Ana Community Development Agency actions**
  - **(1) Any specialized City programs (e.g., YES program)**
  - **(1) Orange County Social Services Agency Family Unification program participants.**

4. Among applicants on the waiting list with the equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5.IfthePHA planstoemploypreferencesfor“residentsoholiveand/orworkinthe jurisdiction”(selectone)

- ThispreferencehaspreviouslybeenreviewedandapprovedbyHUD
- ThePHArequestsapprovalforthispreferencethroughth isPHAPlan

6.Relationshipofpreferencestoincome targeting requirements:(selectone)

- ThePHAappliespreferenceswithinincometiers
- Notapplicable:thepoolofapplicantfamiliesensuresthatthePHAwillmeetin come targeting requirements

**(5)SpecialPurposeSection8AssistancePrograms**

a.Inwhichdocumentsorotherreferencematerialsarethepoliciesgoverningeligibility, selection,andadmissionstoanyspecial -purpose section8programadministeredby the PHAcontained?(selectallthatapply)

- TheSection8AdministrativePlan
- Briefingsessionsandwrittenmaterials
- Other(listbelow)

b. HowdoesthePHAannouncetheavailabilityofanyspecial -purpose section8programs tothepublic?

- Throughpublishednotices
- Other(listbelow)
  - Outreachthroughcommunitybasedorganizations.



# 4. PHA Rent Determination Policies

[24CFR Part 903.79(d)]

Exemptions: PHAs that do not administer public housing are not required to complete sub -component 4A.

## A. Public Housing

**ASA SECTION 8 ONLY AGENCY, PART A IS NOT APPLICABLE TO THE HOUSING AUTHORITY OF THE CITY OF SANTA ANA. PLEASE SKIP TO PART B.**

### (1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent setting policies for income based rent in public housing. Income based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0  
 \$1-\$25  
 \$26-\$50

2.  Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below :

c. Rents set at less than 30% than adjusted income

1.  Yes  No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the ePHA  
plano employ (select all that apply)

- For the earned income of a previously unemployed household member
- For increases in earned income
- Fixed amount (other than general rent -setting policy)  
If yes, state amount/s and circumstances below:
- Fixed percentage (other than general rent -setting policy)  
If yes, state percentage/s and circumstances below:
- For household heads
- For other family members
- For transportation expenses
- For the non-reimbursed medical expenses of non-disabled or non-elderly families
- Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income)  
(select one)

- Yes for all developments
- Yes but only for some developments
- No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95<sup>th</sup> percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent -determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Anytime the family experiences an income increase
- Anytime a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) \_\_\_\_\_
- Other (list below)

g.  Yes  No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

**(2) Flat Rents**

1. In setting the market -based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)

Not Applicable

## B. Section 8 Tenant -Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant -based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant -based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

As a Section 8 only agency, the Housing Authority of the City of Santa Ana is required to complete this part.

### (1) Payment Standards

Describe the voucher payment standards and policies .

The following statements describe the Housing Authority of the City of Santa Ana's voucher payment standards and policies .

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR SET AT THE 50<sup>th</sup> PERCENTILE
- Above 100% but at or below 110% of FMR
  - For persons with disabilities as an accommodation .
- Above 110% of FMR (if HUD approved; describe circumstances below)
  - The Authority has requested authorization from HUD to utilize 120% of FMR to assist mobile home co-owners. To date HUD has not formally responded to the Authority's request.

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)
  - **Not Applicable**

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)
  - **Not Applicable**

d. How often are repayment standards reevaluated for adequacy? (select one)

- Annually  
 Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families  
 Rent burdens of assisted families  
 Other (list below)  
➤ Markets survey

**(2) Minimum Rent**

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0  
 \$1-\$25  
 \$26-\$50

b.  Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

# 5. Operations and Management

[24CFR Part 903.79(e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

**THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.**

## A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached.
- A brief description of the management structure and organization of the PHA follows:

## B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod/Rehab		
Special Purpose Section 8 Certificates/Vouchers		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs		

### **C. Management and Maintenance Policies**

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Section 8 Management: (list below)

Not Applicable

# 6.PHAGrievanceProcedures

[24CFRPart903.79(f)]

Exemptionsfromcomponent6:HighperformingPHAsarenotrequiredtocompletecomponent6.Section8

OnlyPHAsareexemptfromsub -component6A.

## THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.

### A. Public Housing

1.  Yes  No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24CFR Part 966, Subpart B, for residents of public housing?

If yes, list addition to federal requirements below:

2. Which PHA offices should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office  
 PHA development management offices  
 Other (list below)

### B. Section 8 Tenant -Based Assistance

1.  Yes  No: Has the PHA established informal review procedures for applicants to the Section 8 tenant -based assistance program and informal hearing procedures for families assisted by the Section 8 tenant -based assistance program in addition to federal requirements found at 24CFR 982?

If yes, list addition to federal requirements below:

2. Which PHA offices should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office  
 Other (list below)



# 7. Capital Improvement Needs

[24CFRPart903.79(g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

## ASA SECTION 8 ONLY AGENCY , THE HOUSING AUTHORITY OF THE CITY OF SANTA ANAIS EXEMPT FROM COMPLETING SECTION 7.P LEASES KIPTO SECTION 8.

### A. Capital Fund Activities

Exemptions from sub-component 7A: PHA that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

#### (1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD -52837.

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert there)

#### (2) Optional 5 -Year Action Plan

Agencies are encouraged to include a 5 -Year Action Plan covering capital work items. This statement can be completed by using the 5 -Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD -52834.

a.  Yes  No: Is the PHA providing an optional 5 -Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5 -Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name )

-or-

The Capital Fund Program 5 -Year Action Plan is provided below: (if selected, copy the CFP Optional 5 -Year Action Plan from the Table Library and insert there)

**B.HOPEVI and Public Housing Development and Replacement Activities (Non Capital Fund)**

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPEVI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

- Yes  No: a) Has the PHA received a HOPEVI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary).
- b) Status of HOPEVI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development  
 Revitalization Plan submitted, pending approval  
 Revitalization Plan approved  
 Activities pursuant to an approved Revitalization Plan underway

- Yes  No: c) Does the PHA plan to apply for a HOPEVI revitalization grant in the Plan year?  
If yes, list development name/s below:

- Yes  No: d) Will the PHA be engaging in any mixed -financed development activities for public housing in the Plan year?  
If yes, list developments or activities below:

- Yes  No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?  
If yes, list developments or activities below:

# 8.D emolitionandDisposition

[24CFRPart903.79(h)]

Applicabilityofcomponent8:Section8onlyPHAsarenotrequiredtocompletethissection.

## ASA SECTION 8 ONLY AGENCY , THE HOUSING AUTHORITY OF THE CITY OF SANTA ANAIS EXEMPT FROM COMPLETING SECTION 8.P LEASES KIPTO SECTION 9.

1.  Yes  No: DoesthePHAplantoconductanydemolitionordispositionactivities (pursuantto section 18 of the U.S.Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skipto component 9; if “yes”, complete one activity description for each development.)

### 2. Activity Description

Yes  No: Has the PHA provided the activity description information in the **optional** Public Housing Asset Management Table? (If “yes”, skipto component 9. If “No”, complete the Activity Description table below.)

<b>Demolition/Disposition Activity Description</b>	
1a. Development name:	
1b. Development (project) number:	
2. Activity type: Demolition	<input type="checkbox"/>
Disposition	<input type="checkbox"/>
3. Application status (select one)	
Approved	<input type="checkbox"/>
Submitted, pending approval	<input type="checkbox"/>
Planned application	<input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>	
5. Number of units affected:	
6. Coverage of action (select one)	
<input type="checkbox"/> Part of the development	
<input type="checkbox"/> Total development	
7. Timeline for activity:	
a. Actual or projected start date of activity:	
b. Projected end date of activity:	

# 9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families & Families with Disabilities

[24CFR Part 903.79(i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

## **ASA SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANAIS EXEMPT FROM COMPLETING SECTION 9.P LEASES KIPTO SECTION 10.**

1.  Yes  No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If "No", skip to component 10. If "yes", complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHA completing streamlined submissions may skip to component 10.)

### 2. Activity Description

Yes  No: Has the PHA provided all required activity description information for this component in the optional Public Housing Asset Management Table? If "yes", skip to component 10. If "No", complete the Activity Description table below.

**Designation of Public Housing Activity Description**

1a. Development name:

1b. Development (project) number:

2. Designation type:

Occupancy by only the elderly

Occupancy by families with disabilities

Occupancy by only elderly families and families with disabilities

3. Application status (select one)

Approved; included in the PHA's Designation Plan

Submitted, pending approval

Planned application

4. Date this designation approved, submitted, or planned for submission:

(DD/MM/YY)

5. If approved, will this designation constitute a (select one)

New Designation Plan

Revision of a previously approved Designation Plan?

6. Number of units affected:

7. Coverage of action (select one)

Part of the development

Total development

Not Applicable

# 10. Conversion of Public Housing to Tenant-Based Assistance

[24CFR Part 903.79(j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

**ASA SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANAIS EXEMPT FROM COMPLETING SECTION 10.P LEASES KIPTO SECTION 11.**

## A. Assessment of Reasonable Revitalization Pursuant to Section 202 of the HUD FY 1996 HUD Appropriations Act

1.  Yes  No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

### 2. Activity Description

Yes  No: Has the PHA provided all required activity description information for this component in the optional Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

<b>Conversion of Public Housing Activity Description</b>	
1a. Development name:	
1b. Development (project) number:	
2. What is the status of the required assessment?	<input type="checkbox"/> Assessment underway <input checked="" type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status)	<input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on : (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD -approved Conversion Plan underway

**Conversion of Public Housing Activity Description**

5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)

- Units addressed in a pending or approved demolition application (date submitted or approved: \_\_\_\_\_)
- Units addressed in a pending or approved HOPEVI demolition application (date submitted or approved: \_\_\_\_\_)
- Units addressed in a pending or approved HOPEVI Revitalization Plan (date submitted or approved: \_\_\_\_\_)
- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- Other: (describe below)

**B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937**

**C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937**

Not Applicable

# 11. Homeownership Programs Administered by the PHA

[24CFR Part 903.79(k)]

## A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

**ASA SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANAIS EXEMPT FROM COMPLETING PART 11A OF THIS SECTION. PLEASE SKIP TO PART 11B OF THIS SECTION.**

1.  Yes  No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If "No", skip to component 11B; if "yes", complete one activity description for each applicable program/plan, unless eligible to complete as streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

### 2. Activity Description

Yes  No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If "yes", skip to component 12. If "No", complete the Activity Description table below.)



<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>	
1a. Development name:	
1b. Development (project) number:	
2. Federal Program authority:	
<input type="checkbox"/> HOPEI <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)	
3. Application status: (select one)	
<input type="checkbox"/> Approved; included in the PHA's Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application	
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)	
5. Number of units affected:	
6. Coverage of action: (select one)	
<input type="checkbox"/> Part of the development <input type="checkbox"/> Total development	

Not Applicable

## B. Section 8 Tenant Based Assistance

1.  Yes  No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982? (If "No", skip to component 12; if "yes," describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

**NOTE:** Under very limited circumstances, the Housing Authority of the City of Santa Ana, will allow the Housing Assistance Payment (HAP) to be used as partial payment toward a monthly mortgage payment provided the Section 8 client meets certain eligibility criteria. See the "eligibility" criteria below.

- Downpayment assistance **will not** be funded by Section 8 rental assistance payments.
- FSSE escrow Funds may be used as a downpayment toward the purchase of a home.

### 2. Program Description:

#### a. Size of Program

- Yes  No: Will the PHA limit the number of families participating in the Section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants  
 26- 50 participants  
 51 to 100 participants  
 more than 100 participants

#### b. PHA established eligibility criteria

- Yes  No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria? If yes, list criteria below:
- Income
  - Credit History
  - Ability to pay for a downpayment
  - Relationship with a not-for-profit
  - Mandatory homeownership counseling prior to acquisition

# 12.PHA Community Service and Self-Sufficiency Programs

[24CFR Part 903.79(1)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8 - Only PHAs are not required to complete sub-component C.

## **THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.**

### **A. PHA Coordination with the Welfare (TANF) Agency**

#### 1. Cooperative agreements:

Yes  No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?  
If yes, what was the date that agreement was signed?

#### 2. Other coordination efforts between the PHA and TANF Agency (select all that apply)

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programsto eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program, if vouchers are available and awarded
- Joint administration of other demonstration program
- Other (describe)

### **B. Services and programs offered to residents and participants**

#### (1) General

##### a. Self-Sufficiency Policies

Which, if any, of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families

- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for section 8 homeownership option participation
- Other policies (list below)

**b. Economic and Social Self-Sufficiency Programs**

Yes  No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If "yes", complete the following table; if "no" skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office/ PHA main office/ other provider name)	Eligibility (public housing or section 8 participants or both)

**(2) Family Self Sufficiency Programs**

**a. Participation Description**

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2002 Estimate)	Actual Number of Participants (As of: <b>04/01/01</b> )
Public Housing		
Section 8		

b.  Yes  No: If the PHA is not maintaining the minimum programs size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum programs size? If no, list steps the PHA will take below:

**C. Welfare Benefit Reductions**

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notify in residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

**D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937**

# 13. PHA Safety and Crime Prevention

## Measures

[24CFR Part 903.79(m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8  
Only PHAs may skip to component 15. High performing and small PHAs that are participating in PHDEP and  
are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

**THE SANTA ANA HOUSING AUTHORITY IS A HIGH PERFORMING PHA AND THEREFORE NOT REQUIRED TO COMPLETE THIS SECTION.**

### A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the area surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA use to determine the need for PHA action to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anti-crime/anti-drug programs
- Other (describe below)

3. Which developments are most affected? (list below)

**B. Crime and Drug Prevention activities the PHA has undertaken or plan to undertake in the next PHA fiscal year**

1. List the crime prevention activities the PHA has undertaken or plan to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime and/or drug -prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at -risky youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

2. Which developments are most affected? (list below)

**C. Coordination between PHA and the police**

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above - baseline law enforcement services
- Other activities (list below)

2. Which developments are most affected? (list below)

**D. Additional information as required by PHDEP/PHDEP Plan**

PHA eligible for FY2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- Yes  No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes  No: Has the PHA included the PHDEP Plan for FY2000 in this PHA Plan?
- Yes  No: This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_\_)

# 14.RESERVEDFORPETPOLICY

[24CFRPart903.79(n)]

Not Applicable



# **15. Civil Rights Certifications**

[24CFR Part 903.79(o )]

Please see the enclosed Civil Rights Certifications, which are included in the "Housing Authority of the City of Santa Ana Plan Certifications of Compliance with PHA Plans and Related Regulations."

# **16. Fiscal Audit**

[24CFRPart903.7 9(p)]

1.  Yes  No: IsthePHArequiredtohaveanauditconductedundersection 5(h)(2)oftheU.S.HousingActof1937(42US.C.1437c(h))? (Ifno,skiptocomponent17.)
  
2.  Yes  No: WasthemostrecentfiscalauditsubmittedtoHUD?  
➤ ThelatestFiscalAuditoftheHousingAuthorityoftheCity ofSantaAnawascompletedJune30,2001.
  
3.  Yes  No: Werethereanyfindingsastheresultofthat audit?
  
4.  Yes  No: Iftherewereanyfindings,doanyremainunresolved? Ifyes,howmanyunresolvedfindingsremain?\_\_\_\_\_
  
5.  Yes  No: Haveresponsestoanyunresolvedfindingsbeen submittedtoHUD? Ifnot,whenaretheydue(statebelow)?

# 17.PHA Asset Management

[24CFR Part 903.79(q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

**ASA SECTION 8 ONLY AGENCY, THE HOUSING AUTHORITY OF THE CITY OF SANTA ANAIS EXEMPT FROM COMPLETING SECTION 17.P LEASES KIPTO SECTION 18.**

1.  Yes  No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)

- Not applicable
- Private management
- Development-based accounting
- Comprehensive stock assessment
- Other: (list below)

3.  Yes  No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

# 18. Other Information

[24CFR Part 903.79(r)]

## A. Resident Advisory Board Recommendations

1.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)

Attached at Attachment 1

Provided below:

3. In what manner did the PHA address those comments? (select all that apply)

Considered comments but determined that no changes to the PHA Plan were necessary.

The PHA changed portions of the PHA Plan in response to comments  
List changes below:

Other: (list below)

**NOTE:** Section 8 program participant and Tenant Advisory Board recommendations have been incorporated into this document as **Attachment 1**. The Housing Authority of the City of Santa Ana staff will address the recommendations listed in **Attachment 1**, and to the extent feasible, and if within the control of the Authority, suggestions will be incorporated into the actions of the Authority to address goals.

## B. Description of Election process for Residents on the PHA Board

1.  Yes  No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2.  Yes  No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

Candidates were nominated by resident and assisted family organizations

- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: (describe)

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

**C. Statement of Consistency with the Consolidated Plan**

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction:

- The Housing Authority of the City of Santa Ana is within the jurisdiction of the City of Santa Ana thus must be compliant with the City's Consolidated Plan. See **Attachment 2** for certification.

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
  - Expanding affordable housing opportunities for low- and very-low income households. Authority initiatives to be undertaken that support Consolidated Plan objectives include:
    - Rental assistance for low- and very-low income households experiencing housing problems (i.e., pay more than 30% of household income for rent and utilities).

- Bonding authority as financial resource for preservation/expansion of affordable housing opportunities.
- Use of rental assistance to assist with relocation of displaced households as a result of action taken by the City's Community Development Agency.
- Assist with the elimination of impediments to fair housing choice by providing access to affordable housing, direct referrals, educational materials and training to Section 8 landlords and tenants.

Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)
- The City of Santa Ana 2000 -2004 Consolidated Plan provides numerous actions and commitments to assist with the implementation of the Housing Authority of the City of Santa Ana's Agency Plan including:
    - Resources to implement the Analysis for Impediments to Fair Housing Choice.
    - Provide other public resources to leverage Housing Authority resources, e.g., resources for rehabilitation of properties occupied by Section 8 tenants, funds for potential home buyer assistance, and staff resources for the efficient and effective administration of assisted housing funds.

#### **D. Other Information Required by HUD**

Use this section to provide any additional information requested by HUD.

- HUD requires that the Housing Authority provide a definition of a "**substantial deviation**" from its Agency Plan. For the purpose of this Agency Plan, a substantial deviation is defined as the elimination of an objective activity identified in the one -year plan, unless deviation is a result of HUD regulatory requirements or lack of HUD resources.
- HUD requires that the Housing Authority provide a definition of a "**substantial amendment**" to its five -year and one -year Agency Plan. For the purpose of this Agency Plan, a substantial amendment is defined as a change resulting from any of the following actions:
  - Change to rent or admissions policies or organization of waiting list, unless change results from HUD regulatory requirements.
- HUD requires that the Housing Authority provide a statement of its progress toward meeting its 5 -year mission and goals. See attachment 5 for a summary of progress, to date.

## Attachments

Use this section to provide any additional attachments referenced in the Plans.

**Attachment1** –Recommendations of Resident Advisory Committee and the Housing Authority responses.

**Attachment2** –Required Certifications

**Attachment3** –Proof of Publication

**Attachment4** –Section 8 Homeownership Capacity Statement

**Attachment5** –Progress Report: 5 Year Plan

**Attachment6** –Resident Membership of the PHA Governing Board

**Attachment7** –Membership of the Resident Advisory Board

# Attachment 1

RECOMMENDATIONS OF TENANT ADVISORY BOARD  
AND  
HOUSING AUTHORITY RESPONSES



# Tenant Advisory Board Meeting

March 14, 2002

Discussion Question or Issue	Responses from Board Members	Santa Ana Housing Authority Responses/Action Plan
<b>Customer Service</b>		
1. On a scale of 1 -10, with 10 being "great," how would you rate the customer service you receive from the housing authority?	9 10 Depends on housing specialist	One of the Santa Ana Housing Authority's fiscal year '03 goals is to reconfigure the front reception area and implement a phone answering tree system. Implementation of both goals will improve the rate at which questions are answered.
2. If low scores, what specifically are you rating low?	Although no low scores were given in question #1, members did express frustration that they usually had to leave a voice mail message with their housing specialist and then wait for a return call. Members desired "immediate access" or responses to their telephone calls.	
3. If high scores, what specifically are you rating high?	Patience Bilingual housing specialists Quick Services and response Treated with respect and compassion Given enough time for appointments, etc.	
4. What else can the housing authority improve upon?	Improve training programs on purchasing a home or mobile home.  Improve working with owners who refuse to make repairs because they know that someone who is not on housing assistance could rent the unit.  Do not be too strict when inspecting the unit because this might upset the owner of the unit.  Allow participants to be able to rent from relatives.	The Santa Ana Housing Authority will continue to offer on-site Consumer Credit Counseling courses that include training on how to purchase a home, etc.  One of the Santa Ana Housing Authority's fiscal year '03 goals is to enhance and improve the Housing Quality Standards Inspection Program. Implementation of this goal will yield an education program for owners and inspectors and a standard approach for determining "fail" items.

Discussion Question or Issue	Responses from Board Members	Santa Ana Housing Authority Responses/Action Plan
5. What do you think the housing authority is doing really well?	Supervisors are always available. Housing specialists seem genuinely interested in helping clients.	N/A
<b>De-Concentration Counseling</b>		
1. How would you describe the neighborhood you currently live in?	Very good, will never move out of this area. Management great. Quiet, no gangs, clean. No parking. Drugs, noisy, vandalism, gun shots.	The Santa Ana Housing Authority will continue to make mobility and portability information available to all clients especially at the time of voucher issuance.  Location of rental units that accept Section 8 will continue to be offered to all clients.
2. Would you like to move to a different neighborhood? Why?	No.  Maybe. The owner is not very nice, never fixes anything. All repairs are done by tenant including carpet replacement.  Yes, but would like to stay near family and doctor.  No. In 1985 there were many gangs near rental unit but now it is much better. Doctors and family are nearby.	
3. If you would like to move but haven't, why not?	Housing is hard to find. Afraid a new location might be unsafe. Rent is too high in other places. Close to kid's school. Hard to find units that accept Section 8. Would like the City of Santa Ana to own units that would only accept Section 8. Would like more construction of houses or apartments.	N/A – see comments above.
4. What kind of moving information do you need?	Crime rates for areas of the city and county.  Where there are units for elderly that take Section 8.  Where there are units with a lower deposit requirement.	N/A – see comments above.

Discussion Question or Issue	Responses from Board Members	Santa Ana Housing Authority Responses/Action Plan
	Be more flexible on time approval. Do not require 30 days notice because new owner is not willing to wait.	
5. Would you consider moving out of Orange County? If not, why not?	No –  Family and work are near, comfortable living in Orange County, feels like home.	N/A – see comments above.
<b>Fraud</b>		
1. Do you think there are people who are committing Section 8 fraud?	Yes	The Santa Ana Housing Authority will aggressively pursue fraud beginning in fiscal year '03. A part-time, retired police officer will be hired and referrals made, as appropriate, by housing specialists. Specific policy regarding consequences and severity of penalties will be developed based on the comments received by tenant board members.
2. If yes, what kinds of fraud do you think people are committing?	Breaking the occupancy rules.  Not reporting all income.  Not reporting absence of children.  Sub-leasing their unit.  Receiving a 3 bedroom voucher for 1 person.	
3. What do you think the penalty should be if someone commits fraud?	Review on a case-by-case basis.  Termination.	N/A – see above comments.
4. What do you think about the housing authority hiring an investigator to help eliminate Section 8 fraud?	Good idea.  Not practical. Wasting federal money. Unnecessary.	N/A – see above comments.
5. What do you think about giving tenants a “grace period” whereby they can “confess” to committing	Good idea. Everybody needs a second chance. At least one.  Don't punish them because you want to set an example for others.	N/A – see above comments.

Discussion Question or Issue	Responses from Board Members	Santa Ana Housing Authority Responses/Action Plan
fraud (before we hire the investigator) and we would work with them rather than terminate their assistance?	The consequence of the punishment should be tied to the severity of the fraud and the number of offenses.	
<b>Homeownership</b>		
1. How many of you have considered downing your own home?	Everyone.	The Santa Ana Housing Authority will continue to apply for and administer IDEA funds for Family Self-Sufficiency participants. Also, homeownership courses will continue to be offered, on-site, through Consumer Credit Counseling.  Information regarding the City's first time homeowner program, etc. will continue to be made available to clients.
2. What are your obstacles to owning a home or condo?	Cannot find a permanent job. Too little pay, lack of money.  My age and health.  Downpayment.  Credit.	
3. What have you done to overcome these obstacles?	Attended a credit course.  Nothing.	
4. How many of you have taken a class on how to save for or purchase a home?	None.	N/A – see above comments.
5. What can the housing authority do for you to help you in buying a home?	Help with a loan, mortgage payment, downpayment assistance.	N/A – see above comments.

# Attachment2

CONSISTENCYWITH CONSOLIDATED PLAN



COMPLIANCEWITHTHE PHAP LANSAND  
RELATED REGULATIONS



CERTIFICATEFORA DRUG-FREE WORKPLACE



CERTIFICATIONOF PAYMENTSTO  
INFLUENCE FEDERAL TRANSACTIONS



DISCLOSUREOF LOBBYING ACTIVITIES

ConsistencywithConsolidatedPlan  
(1pagedocument)

SubmittedelectronicallytoHUDNationalas:ca093av03  
Original,hardcopysubmittedtoHUDFieldOffice

Certification of Compliance with PHA Plans and  
Related Regulations  
Board Resolution to Accompany Plan  
Page 1

Submitted electronically to HUD National as: ca093bv03  
Original, hardcopy submitted to HUD Field Office

Certification of Compliance with PHA Plan sand  
Related Regulations  
Board Resolution to Accompany Plan  
Page 2

Submitted electronically as ca093cv03  
Original, hardcopy submitted to HUD Field Office



CertificationofCompliancewithPHAPlansand  
RelatedRegulations  
BoardResolutiontoAccompanyPlan  
Page3

Submittedelectronicallyasca093dv03  
Original,hardcopysubmittedtoHUDFieldOffice

CertificationforaDrug -FreeWorkplace  
(1pagedocument)

Submittedelectronicallyas:ca093ev03  
Original,hardcopysubmittedtoHUDFieldOffice

Certification of Payments to Influence Federal Transactions  
(1 page document)

Submitted electronically as: ca093fv03  
Original, hardcopy submitted to HUD Field Office

Disclosure of Lobbying Activities  
(1 page document)

Submitted electronically as: ca093gv03  
Original, hardcopy submitted to HUD Field Office

# Attachment3

PROOF OF PUBLICATION

Affidavit of Publication  
(1 page document)

Submitted Electronically as: ca093hv03  
Original, hardcopy submitted to HUD Field Office

# Attachment4

## SECTION 8H HOMEOWNERSHIP PROGRAM CAPACITY STATEMENT

Section 8 Homeownership Capacity Statement  
(1 page document)

Submitted Electronically as: ca093iv03  
Original, hard copy submitted to HUD Field Office

## Section 8 Homeownership Capacity Statement

I, John P. Reekstin, the Executive Director of the Community Development Agency of the city of Santa Ana, certify that the Housing Authority of the city of Santa Ana has the capacity to administer a Section 8 Voucher Homeownership Program and will employ the following provision:

“Establish a minimum homeowner downpayment requirement of at least three (3) percent and require that at least one (1) percent of the downpayment come from the family’s resources.”

and

“Requiring that financing for purchase of a home under its section 8 homeownership program will: be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.”

\_\_\_\_\_  
John P. Reekstin, Executive Director  
Community Development Agency  
City of Santa Ana

March 6, 2002  
Date



# Attachment 5

## Progress Report

### Five Year Plan

Activities completed or expected to be conducted\* between July 1, 2001 and June 30, 2002 that have lead to significant completion of the Five Year Goals are:

{\*Expected to be conducted: The update to the Annual Plan was completed March 4, 2002. This is four months before the end of the current fiscal year. This status report includes activities already completed or initiated and those that have an execution date between March 1 and June 30, 2002. }

#### *Funding*

- Applied for and received 500 Housing Choice Vouchers to assist 500 low income families/individuals with rental assistance. (July 2, 2001)
- Applied for and received \$120,000 to employ up to two full-time staff to administer a Family Self-Sufficiency Program. (September 28, 2001)
- Applied for and received \$50,000 from the Federal Home Loan Bank to assist (as matching funds) with a low-income homeownership program. Estimate assisting up to five families. (April 24, 2001)
- Received \$562,000 in County Social Services funds to assist CalWORKS clients with security deposits and the purchase of stoves and refrigerators. Estimate assisting up to 250 families.

## ***Relationships and Customer Service***

- Offering, on-site, four Orange County Consumer Credit Counseling Courses. 32 clients attended the first class offered August 16, 2001. 22 attended the 2<sup>nd</sup> class offered November 15. 3<sup>rd</sup> and 4<sup>th</sup> classes will be February 21, and May 16, 2002.
- Opened the Wait List on October 1, 2001. Wait list will stay open indefinitely. Last wait list opening was August 1999. Provided wait list application to over 65 service agencies.
- From July 1, 2001 through November 30, 2001, housing specialists have:
  - Interviewed 929 families
  - Issued 480 Vouchers
  - Leased up 160 families
- Hosted New Owner Outreach dinner/program with all OC housing authorities to educate and attract new owners to the Section 8 program. Over 200 people attended. (October 18, 2001)
- Entered into MOUs with Community Housing Resources, Inc., Mercy House Transitional Living Centers, and Orange County Social Services Agency to streamline the rental assistance process for mutual clients. (Spring and Fall 2001)
- Provided presentations on the operations of the Santa Ana Housing Authority to Mental Health Board, Providers Forum, two local SEIU Unions, and the OC Consumer Credit Counseling Council. Attended and provided information at Congresswoman Loretta Sanchez's "information" tent.
- Entered into a contract with Fair Housing Council of Orange County to mediate administrative hearings. Provides clients with a neutral third party when challenging an Authority action. (May 2001)
- Worked extensively with Southern California Edison to offer new refrigerators to clients with 10 year old+ refrigerators. 400 clients referred through program. (September 2001)

## *Quality Improvement/Internal Operations*

- Altered casemanagement from an individual caseload system to a team approach. Created two casemanagement teams with approximately 1,000 cases per team. (Summer 2001)
- Began utilizing the services of an off-site storage facility to improve filing and storage needs. (Summer 2001)
- Converted to a computerized barcode labeling system for over 2,000 case files. System will improve efficiency in locating files. (December 2001)
- Implemented systematic approach to data collection and tracking of funds. Monthly reports generated to determine areas of efficiency and for strategic planning.

# Attachment 6

## Resident Membership of the PHA Governing Board

Name: Vacant\*

Term: 2-year term

Method of Selection: Letter of Interest must be submitted followed by  
appointment

\*Appointment pending. Four applications received and currently under consideration.  
Appointment expected June 1, 2002.

# Attachment 7

## Membership of the Resident Advisory Board

SamAthChao
AliciaSalazar
AntonioPonce
AychellDeRoux
CarlosE.Morales
CarlosRodriguez
CarmenS.Vargas
ClaudiaRiewaldt
DatTienNguyen
DiepN.Nguyen
FelicitasMunoz
FilibertoGonzalez
HanVanNguyen
HuyNgocVu
HyDucNguyen
JesusSolis
JimWatson
LuisM.Alcocer
LuyenHoang
MariaA.Felix
MariaD.Garcia
MariaE.Bonilla
MariaE.Bonilla
MariaL.Lopez
MariaSanchez
MarthaSerrano
MuoiVanNguyen
RafaelaLopez
RidelChanSambuo
RoxannaMangili
SusanEuske
TeresaPerez
TruongT.Vu
VuiCao

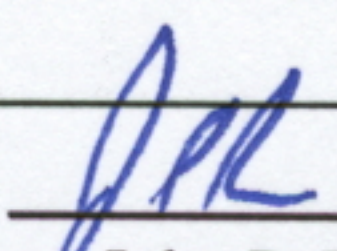
# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> <b>B</b> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> n/a a. bid/offer/application b. initial award c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> <b>A</b> a. initial filing b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Housing Authority of the City of Santa Ana 20 Civic Center Plaza Santa Ana, CA 92702 <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>          <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>  U.S. Department of Housing and Urban Development	<b>7. Federal Program Name/Description:</b>  Section 8 Rental Assistance Program  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: <u></u> Print Name: <u>John P. Reekstin</u> Title: <u>Executive Director</u> Telephone No.: <u>(714) 667-2200</u> Date: <u>03/06/02</u>	
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

**PHA Certifications of Compliance with the PHA Plans  
and Related Regulations  
Board Resolution to Accompany the PHA Plan**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the 5-Year Plan and Annual Plan for PHA fiscal year beginning 7/1/02, hereinafter referred to as the Plan of which this document is a part and make the following certifications and agreements with the Department of Housing Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
4. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
5. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
6. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
7. For PHA Plan that includes a policy for site based waiting lists:
  - The PHA regularly submits required data to HUD's MTCS in an accurate, complete and timely manner (as specified in PIH Notice 99-2);
  - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
  - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
  - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
  - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).

8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA has submitted with the Plan a certification with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA has submitted with the Plan a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.
13. For PHA Plan that includes a PHDEP Plan as specified in 24 CFR 761.21: The PHDEP Plan is consistent with and conforms to the "Plan Requirements" and "Grantee Performance Requirements" as specified in 24 CFR 761.21 and 761.23 respectively and the PHA will maintain and have available for review/inspection (at all times), records or documentation of the following:
  - Baseline law enforcement services for public housing developments assisted under the PHDEP plan;
  - Consortium agreement/s between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD (applicable only to PHAs participating in a consortium as specified under 24 CFR 761.15);
  - Partnership agreements (indicating specific leveraged support) with agencies/organizations providing funding, services or other in-kind resources for PHDEP-funded activities;
  - Coordination with other law enforcement efforts;
  - Written agreement(s) with local law enforcement agencies (receiving any PHDEP funds); and
  - All crime statistics and other relevant data (including Part I and specified Part II crimes) that establish need for the public housing sites assisted under the PHDEP Plan.
14. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
15. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
16. The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58.
17. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
18. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
19. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
20. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments.).
21. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.



22. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and attachments at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.

Housing Authority of  
the City of Santa Ana

CA 093

PHA Name

PHA Number



Signed/Dated by PHA Board Chair or other authorized PHA official

Miguel A. Pulido, Chairman  
March 6, 2002

# Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Housing Authority of the City of Santa Ana

Program/Activity Receiving Federal Grant Funding

Section 8 Rental Assistance Program

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. **Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Santa Ana City Hall  
20 Civic Center Plaza  
Santa Ana, CA 92702

Check here  if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.  
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

John P. Reekstin

Title

Executive Director

Signature

X

Date

03/06/02

# Certification of Payments to Influence Federal Transactions

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

Applicant Name

Housing Authority of the City of Santa Ana

Program/Activity Receiving Federal Grant Funding  
Section 8 Rental Assistance Program

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.  
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

John P. Reekstin

Title

Executive Director

Signature

Date (mm/dd/yyyy)

03/06/02

# Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan

I, David N. Ream, the City Manager, certify that the fiscal year 2003 (which begins July 1, 2002) Annual PHA Plan of the Housing Authority of the City of Santa Ana is consistent with the Consolidated Plan of the City of Santa Ana prepared pursuant to 24 CFR Part 91.



David N. Ream, City Manager

04-02-02

Date

# AFFIDAVIT OF PUBLICATION

STATE OF CALIFORNIA, )  
 ) ss.  
 County of Orange )

This space is for the County Clerk's Filing Stamp

I am a citizen of the United States and a resident of the County aforesaid; I am over the age of eighteen years, and not a party to or interested in the above entitled matter. I am the principal clerk of **The Orange County Register**, a newspaper of general circulation, published in the city of Santa Ana, County of Orange, and which newspaper has been adjudged to be a newspaper of general circulation by the Superior Court of the County of Orange, State of California, under the date of November 19, 1905, Case No. A-21046, that the notice, of which the annexed is a true printed copy, has been published in each regular and entire issue of said newspaper and not in any supplement thereof on the following dates, to wit:

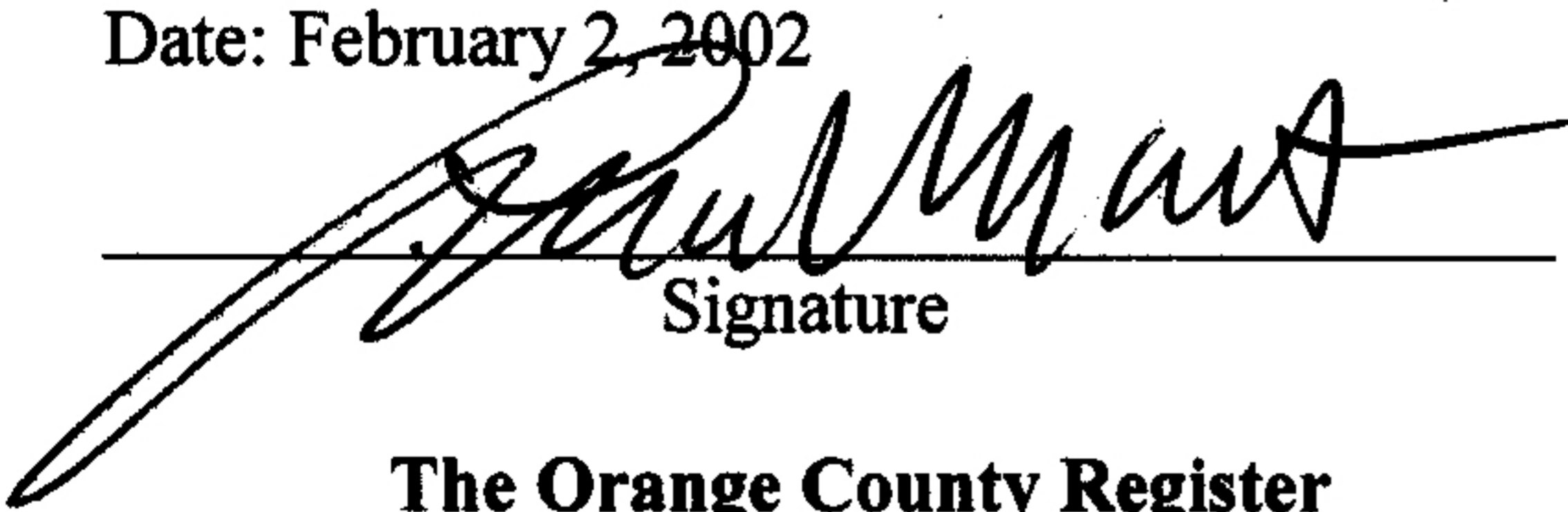
Proof of Publication

February 2, 2002

"I certify (or declare) under the penalty of perjury under the laws of the State of California that the foregoing is true and correct":

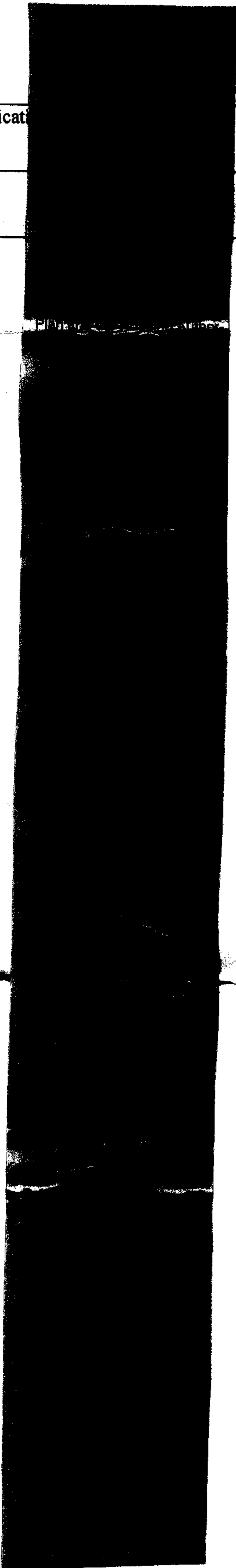
Executed at Santa Ana, Orange County, California, on

Date: February 2, 2002

  
 \_\_\_\_\_  
 Signature

**The Orange County Register**  
 625 N. Grand Ave.  
 Santa Ana, CA 92701  
 (714) 796-7000 ext. 3002

**PROOF OF PUBLICATION**



# Capacity Statement

## Section 8 Voucher Homeownership Program


I, John P. Reekstin, the Executive Director of the Housing Authority of the City of Santa Ana, certify that the Housing Authority of the City of Santa Ana has the capacity to administer a Section 8 Voucher Homeownership Program and will employ the following provisions:

“Establish a minimum homeowner downpayment requirement of at least three (3) percent and require that at least one (1) percent of the downpayment come from the family’s resources.”

and

“Require that financing for purchase of a home under its Section 8 homeownership program will:

1. Be provided, insured, or guaranteed by the state or federal government;
2. Comply with secondary mortgage market underwriting requirements;  
or
3. Comply with generally accepted private sector underwriting standards.”

  
\_\_\_\_\_  
John P. Reekstin, Executive Director  
Housing Authority of the City of Santa Ana

\_\_\_\_\_  
04.02.02  
Date